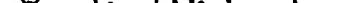


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'Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16, if possible. <sup>6</sup>Applicant is

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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*Complete if Known*

|                       |                  |
|-----------------------|------------------|
| Application Number    | 09/668,610       |
| Filing Date           | 9/22/00          |
| First Named Inventor: | Ellison, et. al. |
| Group Art Unit        | 2131             |
| Examiner Name         | Unassigned       |



|       |   |               |   |                        |               |
|-------|---|---------------|---|------------------------|---------------|
| Sheet | 2 | 042390.P8104X | 2 | Attorney Docket Number | 042390.P8104x |
|-------|---|---------------|---|------------------------|---------------|

## OTHER ART – NO PATENT LITERATURE DOCUMENTS

|                    |                      |  |                        |
|--------------------|----------------------|--|------------------------|
| Examiner Initials* | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T <sup>2</sup>         |
| K.A.               |                      | "M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 – page 1-9, page 1-13-page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11   |                        |
| K.A.               |                      | "INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14  |                        |
| K.A.               |                      | JOE HEINRICH: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79  |                        |
| K.A.               |                      | BERG C: "HOW DO I CREATE A SIGNED APPLET?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122  |                        |
|                    |                      | GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTEREY, CA 12 '97, pages 103-112                           |                        |
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|--------------------|-----------------------|-----------------|---------|
| Examiner Signature | <i>John Olszanski</i> | Date Considered | 4/13/04 |
|--------------------|-----------------------|-----------------|---------|

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## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
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| Title of Invention  | Platform and Method for Generating and Utilizing a Audit Log   |            |            |                               |          |
|---|--|------------|------------|-------------------------------|----------|
| Application Number:   | 09/668610  |            |            |                               |          |
| Confirmation Number:  | 2283   |            |            |                               |          |
| First Named Applicant:  | Carl Ellison   |            |            |                               |          |
| Attorney Docket Number:   | 42P08104X  |            |            |                               |          |
| Art Unit:   | Unknown  |            |            |                               |          |
| Examiner:   | Unknown Unknown  |            |            |                               |          |
| Search string:  | ( 4319323 or 4759064 or 4795893 or 5007082 or 5293424 or 5317705 or 5459867 or 5504922 or 5606617 or 5901225 or 5970147 or 6061794 or 6092095 or 6115816 or 6212635 or 6222923 or 6252650 or 6269392 or 6330670 or 6357004 or 6363485 or 6374317 or 6378072 or 6389537 or 6412035 or 6421702 or 6445797 or 6463535 or 6463537 or 6507904 or 6535988 or 6557104 or 6633963 or 6633981 ).pn. |            |            |                               |          |
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| <b>US Patent Documents</b>  |  |            |            |                               |          |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents |  |            |            |                               |          |
| init  | Cite.No.   | Patent No. | Date       | Patentee                      | Kind     |
| KA  | 1  | 4319323    | 1982-03-09 | Ermolovich, Thomas R., et al. | Class    |
| KA  | 2  | 4759064    | 1988-07-19 | Chaum,                        | Subclass |
| MA  | 3  | 4795893    | 1989-01-03 | Ugon, Michael                 |          |
| MA  | 4  | 5007082    | 1991-04-09 | Cummins, Mary T.              |          |
| MA  | 5  | 5293424    | 1994-03-08 | Hotley, Thomas O., et al.     |          |
| MA  | 6  | 5317705    | 1994-05-31 | Gannon, Patrick M., et al.    |          |
| MA  | 7  | 5459867    | 1995-10-17 | Adams, Phillip M., et al.     |          |
| MA  | 8  | 5504922    | 1996-04-02 | Seki, Yukihiro , et al.       |          |
| MA  | 9  | 5606617    | 1997-02-25 | Brands, Stefanus A.           |          |
| MA  | 10   | 5901225    | 1999-05-04 | Ireton, Mark A., et al.       |          |
| MA  | 11   | 5970147    | 1999-10-19 | Davis, Derek L., et al.       |          |
| MA  | 12   | 6061794    | 2000-05-09 | Angelo, Michael E.            |          |

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|    |    |         |            |                               |
|----|----|---------|------------|-------------------------------|
| KA | 13 | 6092095 | 2000-07-18 | Maytal, Benjamin              |
| KA | 14 | 6115816 | 2000-09-05 | Davis, Derek L.               |
| KA | 15 | 6212635 | 2001-04-03 | Reardon, David C.             |
| KA | 16 | 6222923 | 2001-04-24 | Schwenk, Joerg                |
| RA | 17 | 6252650 | 2001-06-26 | Nakaumra, Kouji               |
| KA | 18 | 6269392 | 2001-07-31 | Cotichini, Christian , et al. |
| RA | 19 | 6330670 | 2001-12-11 | England, Paul , et al.        |
| KA | 20 | 6357004 | 2002-03-12 | Davis, Derek L.               |
| KA | 21 | 6363485 | 2002-03-26 | Adams, Carlisle               |
| RA | 22 | 6374317 | 2002-04-16 | Ajanovic, Jasmin , et al.     |
| KA | 23 | 6378072 | 2002-04-23 | Collins, Thomas , et al.      |
| RA | 24 | 6389537 | 2002-05-14 | Davis, Derek L., et al.       |
| KA | 25 | 6412035 | 2002-06-25 | Webber, Victor                |
| KA | 26 | 6421702 | 2002-07-16 | Gulick, Dale E.               |
| KA | 27 | 6445797 | 2002-09-03 | McGough, Paul , et al.        |
| KA | 28 | 6463535 | 2002-10-08 | Drews, Paul C., et al.        |
| KA | 29 | 6463537 | 2002-10-08 | Tello, Jose A.                |
| KA | 30 | 6507904 | 2003-01-14 | Ellison, Carl M., et al.      |
| KA | 31 | 6535988 | 2003-03-18 | Poisner, David L.             |
| KA | 32 | 6557104 | 2003-04-29 | Vu, Son T., et al.            |
| KA | 33 | 6633963 | 2003-10-14 | Ellison, Carl M., et al.      |
| KA | 34 | 6633981 | 2003-10-14 | Davis, Derek L.               |

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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| Substitute for Form 1449A/PTO (Modified)   |                      |  |   | <b>Complete if Known</b> |                    |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><small>NOV 26 2002 (Use as many sheets as necessary)</small> |                      |  |   | Application Number       | 09/668,610         |
|  |                      |  |   | Filing Date              | September 22, 2000 |
|  |                      |  |   | First Named Inventor:    | Carl M. Ellison    |
|  |                      |  |   | Group Art Unit           | 2131               |
|  |                      |  |   | Examiner Name            | Unassigned         |
| Sheet  | TRADEMARK OFFICE     | of   | 2 | Attorney Docket Number   | 042390P8104X       |
| <b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>  |                      |  |   |                          |                    |
| Examiner Initials*   | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |   |                          | T <sup>2</sup>     |
| K.A.   |                      | GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.  |   |                          |                    |
| K.A.   |                      | GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983  |   |                          |                    |
| K.A.   |                      | ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.   |   |                          |                    |
| K.A.   |                      | LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 11/29/1999; pp. 1-31.                           |   |                          |                    |
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| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |   | Application Number       | 09/668,610      |
|  |   | Filing Date              | 9/22/2000       |
|  |   | First Named Inventor:    | Ellison, et al. |
|  |   | Group Art Unit           | 2131            |
|  |   | Examiner Name            | Unassigned      |
| Sheet  | 1 | of                       | 1               |
|  |   | Attorney Docket Number   |                 |
|  |   | 042390.P8104X            |                 |

## **U.S. PATENT DOCUMENTS**

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## **FOREIGN PATENT DOCUMENTS**

| Exam.<br>Initial* | Cite<br>No. <sup>1</sup> | Foreign Patent Document |  | Name of Patentee or Applicant<br>of Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|-------------------|--------------------------|-------------------------|--|--|--|--|----------------|
|                   |                          | Office <sup>3</sup>     | Number <sup>4</sup> Kind Code <sup>5</sup><br>(If known) |  |  |  |                |
| KA                |                          | WO 97/29567             |  | Gressel  |  |  |                |
| KA                |                          | WO 01/75565             |  | Ellison  |  |  |                |
| KA                |                          | WO 01/75595             |  | Ellison  |  |  |                |
| KA                |                          | WO 01/27723A            |  | Pearson  |  |  |                |
| KW                |                          | WO 01/27821A            |  | Pearson  |  |  |                |
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| Examiner<br>Signature |  | Date Considered<br>4/13/04. |  |
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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# Electronic Information Disclosure Statement

## Protecting Software Environment in Isolated Execution

Application:   
09/668610

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Confirmation: 2283

MAY 19 2003

Applicant(s): Carl Ellison

Technology Center 2100

Docket Number: 42390P8104X

Group Art Unit: 2131

Examiner: Unassigned

search string: ( 4037214 or 5079737 or 5386552 or 5628022 or 5737760 or 5757919 or 5852717 or 5872994  
or 6055637 or 6085296 or 6125430 or 6148379 or 6192455 or 6249872 or 6272533 or 6292874  
or 6301646 or 6321314 or 6339815 or 6339816 or 6499123 or 6505279 or 20010021969 or  
20010027527 ).pn.

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| init | Citation No. | Patent Number | Date       | Bar Code | Patentee       | Class | Subclass |
|------|--------------|---------------|------------|----------|----------------|-------|----------|
| M.A. | P01          | 4037214       | 1977-07-19 |          | Birney, et al. |       |          |
| K.B. | P02          | 5079737       | 1992-01-07 |          | Hackbarth      |       |          |
| K.B. | P03          | 5386552       | 1995-01-31 |          | Garney         |       |          |
| H.H. | P04          | 5628022       | 1997-05-06 |          | Ueno, et al.   |       |          |

|      |     |                |            |  |                      |
|------|-----|----------------|------------|--|----------------------|
| K.A. | P05 | <b>5737760</b> | 1998-04-07 |  | Grimmer, Jr., et al. |
| K.A. | P06 | <b>5757919</b> | 1998-05-26 |  | Herbert, et al.      |
| K.A. | P07 | <b>5852717</b> | 1998-12-22 |  | Bhide, et al.        |
| K.A. | P08 | <b>5872994</b> | 1999-02-16 |  | Akiyama, et al.      |
| K.A. | P09 | <b>6055637</b> | 2000-04-25 |  | Hudson, et al.       |
| K.A. | P10 | <b>6085296</b> | 2000-07-04 |  | Karkhanis, et al.    |
| K.A. | P11 | <b>6125430</b> | 2000-09-26 |  | Noel, et al.         |
| K.A. | P12 | <b>6148379</b> | 2000-11-14 |  | Schimmel             |
| K.A. | P13 | <b>6192455</b> | 2001-02-20 |  | Bogin, et al.        |
| K.A. | P14 | <b>6249872</b> | 2001-06-19 |  | Wildgrube, et al.    |
| K.A. | P15 | <b>6272533</b> | 2001-08-07 |  | Browne               |
| K.A. | P16 | <b>6292874</b> | 2001-09-18 |  | Barnett              |
| K.A. | P17 | <b>6301646</b> | 2001-10-09 |  | Hostetter            |
| K.A. | P18 | <b>6321314</b> | 2001-11-20 |  | Van Dyke             |
| K.A. | P19 | <b>6339815</b> | 2002-01-15 |  | Feng, et al.         |
| K.A. | P20 | <b>6339816</b> | 2002-01-15 |  | Bausch               |
| K.A. | P21 | <b>6499123</b> | 2002-12-24 |  | McFarland, et al.    |
| K.A. | P22 | <b>6505279</b> | 2003-01-07 |  | Phillips, et al.     |

## Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| init | Citation No. | Patent Number | Date       | Bar Code | Patentee         | Class | Subclass |
|------|--------------|---------------|------------|----------|------------------|-------|----------|
| K.A. | U01          | 20010021969   | 2001-09-13 |          | Burger, et al.   |       |          |
| K.A. | U02          | 20010027527   | 2001-10-04 |          | Khidekel, et al. |       |          |

## Remarks

(Remarks are not for responding to an office action.)

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## Signature

|                  |         |
|------------------|---------|
| Examiner Name    | Date    |
| Karen Abundacion | 4513104 |

**Substitute for Form 1449A/PTO (Modified)**

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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| <i>Complete if Known</i> |                 |
|--------------------------|-----------------|
| Application Number       | 09/668,610      |
| Filing Date              | 09/22/2000      |
| First Named Inventor:    | Ellison, et al. |
| Group Art Unit           | 2131            |
| Examiner Name            | Unassigned      |
| Attorney Docket Number   | 042390.P8104X   |

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## FOREIGN PATENT DOCUMENTS

| Examiner | Cite No. <sup>1</sup> | Foreign Patent Document |  | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|----------|-----------------------|-------------------------|--|---|--|---|----------------|
|          |                       | Office <sup>3</sup>     | Number <sup>4</sup> Kind Code <sup>5</sup><br>(If known) |   |  |   |                |
| K.A.     |                       | WO 02 17555             | A  | Verisign, Inc.                                  | 02/28/2002                                       |   |                |
| M.J.     |                       | WO 01 75564             | A  | Intel Corporation                               | 10/11/2001                                       |   |                |
| M.M.     |                       | WO 02 086684            | A  | Hewlett Packard                                 | 10/31/2002                                       |   |                |
| M.A.     |                       | JP02000076139           | A  | Nippon  | 03/14/2000                                       |   |                |
|          |                       |                         |  |   |  |   |                |
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**Examiner  
Signature**

Rash Alshabani

Date Considered  
4/13/04

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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| Substitute for Form 1449A/PTO (Modified)   |                      | <i>Complete if Known</i>   |                        |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |                      | Application Number   | 09/668,610             |
|  |                      | Filing Date  | 09/22/2000             |
|  |                      | First Named Inventor:  | Ellison, et al.        |
|  |                      | Group Art Unit   | 2131                   |
|  |                      | Examiner Name  | Unassigned             |
| Sheet  | 2                    | of   | Attorney Docket Number |
| <b>OTHER ARTICLES NOT PATENT LITERATURE DOCUMENTS</b>  |                      |  |                        |
| Examiner Initials*   | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |                        |
| K.A.   |                      | "Information Display Technique for a Terminate Stay Resident Program," IBM Technical Disclosure Bulletin, TDB-ACC-No. NA9112156, 12/1/91, pp. 156-158, Vol. 34, Issue No. 7A   |                        |
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| Examiner<br>Signature | B. M. B. M. | Date<br>Considered | 4/14/84 |
|-----------------------|-------------|--------------------|---------|

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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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Sheet 1 of 2 Attorney Docket Number

|   |   |    |   |                          |                    |
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| Substitute for Form 1449A/PTO   |   |    |   | <i>Complete if Known</i> |                    |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(Use as many sheets as necessary.)</i> |   |    |   | Application Number       | 09/668,610         |
|   |   |    |   | Filing Date              | September 22, 2000 |
|   |   |    |   | First Named Inventor     | Carl M. Ellison    |
|   |   |    |   | Group Art Unit           | 2131               |
|   |   |    |   | Examiner Name            | Unassigned         |
| Sheet   | 1 | of | 2 | Attorney Docket Number   | 042390.P8104X      |

## U.S. PATENT DOCUMENTS

| Exam.<br>Initials | Document<br>Number | Date     | Name              | Class | Sub-<br>class | Filing Date<br>(if appropriate) |
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| K.A.              | 5,022,077          | 06/04/91 | Bealkowski et al. |       |               |                                 |
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| K.A.              | 5,729,760          | 03/17/98 | Poisner           |       |               |                                 |
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| Examiner<br>Signature |  | Date<br>Considered | 4/13/04 |
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Sheet 2 of 2 Attorney Docket Number 042390.P8104X

| <i>Complete if Known</i> |                    |
|--------------------------|--------------------|
| Application Number       | 09/668,610         |
| Filing Date              | September 22, 2000 |
| First Named Inventor     | Carl M. Ellison    |
| Group Art Unit           | 2131               |
| Examiner Name            | Unassigned         |
| Attorney Docket Number   | 042390.P8104X      |

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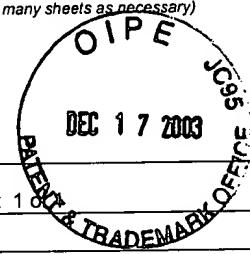
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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
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|                             |                    |
|-----------------------------|--------------------|
| Complete if Known           |                    |
| <b>Application Number</b>   | 09/668610          |
| <b>Filing Date</b>          | September 22, 2000 |
| <b>First Named Inventor</b> | Ellison, Carl M.   |
| <b>Group Art Unit</b>       | 2766               |
| <b>Examiner Name</b>        | Unassigned         |

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| Examiner Initials* | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                 | T <sup>2</sup> |
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EXAMINER

*Joel A. Farrell*

DATE CONSIDERED

*4/13/04*